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PATENT

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IN THE U.S. PATENT AND TRADEMARK OFFICE

APPLICANT: Shusou WADAKA et al.

SERIAL NO.: 09/202,070

GROUP: Unassigned

FILED: December 8, 1998

EXAMINER: Unassigned

FOR: FILM ACOUSTIC WAVE DEVICE AND ITS MANUFACTURING
METHOD AND CIRCUIT DEVICE

INFORMATION DISCLOSURE STATEMENT
(SUBMISSION AFTER FILING OF AN APPLICATION
BUT BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE
OR CONCURRENTLY WITH A RULE 53(d) CPA APPLICATION)

Assistant Commissioner for Patents
Washington, DC 20231

Date: February 3, 1999
Docket No.: 2565-0136P

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an
Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the
Office are listed on PTO-1449, attached hereto.

II. COPIES (check at least one box)

- a. X Submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii)
each publication or that portion which caused it to be listed; and (iii) all
other information or that portion which caused it to be listed.
- b. Some or all of the documents listed on the PTO-1449 are not enclosed
because they were cited in the International Search Report and copies
should already be in the PTO file. If copies are needed, please contact the
undersigned.

III. CONCISE EXPLANATION OF THE RELEVANCE
(check at least one box)

a. **DOCUMENTS NOT IN THE ENGLISH LANGUAGE**

A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:

b. **DOCUMENTS IN THE ENGLISH LANGUAGE**

All of the patents, publications or other information are in the English language. No statement of relevancy is required.

c. **ENGLISH LANGUAGE SEARCH REPORT**

An English language version of the search report or action which indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(A)(3).

d. X **OTHER**

The following additional information is provided for the Examiner's consideration.

The references attached hereto are either in the English language or submitted with English language Abstracts and/or translations.

FEEES

IV. X THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b):
(check one box)

a. X within three months of the filing date of a national application (37 C.F.R. § 1.97(b)(1)). No fee or statement is required.

b. within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or statement is required.

c. before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or statement is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the statement under 37 C.F.R. § 1.97(e) below, or, if no statement has been made, charge our deposit account in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

- V. ☐ THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c)(1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c)(2)).

- a. ☐ No statement; therefore, a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).
or
b. ☐ See the statement below. No fee is required.

- VI. STATEMENT UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby states that

- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.
c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

VII. PAYMENT OF FEES (check one box)

- ☐ A check in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p) is enclosed for the above-identified fee.
- ☐ Please charge Deposit Account No. 02-2448 in the amount required by 37 C.F.R. § 1.17(p) for the above-indicated fee. A triplicate copy of this paper is attached.
- ☒ No fee is required.

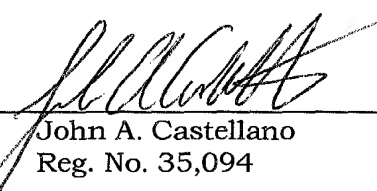
If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 02-2448.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 CFR §1.16 or under §1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By


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JAC:mdp

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Enclosures: ☒ PTO-1449
☒ Documents (8)
☐ Foreign Search Report
☐ Fee
☐ Other:

(Rev. 6/15/98)
J:\ids3tofr.doc

Form PTO-1449

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

ATTY. DOCKET NO.

2565-0136P

APPLICATION

No. 09/202,070

APPLICANT

Shusou WADAKA et al.

FILING DATE

December 8, 1998

GROUP

Unassigned

U. S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
					YES NO
61 2 6 9 4 1 0	November 28, 1986	Japan (w/Abstract)			X
63 1 8 7 0 8	January 26, 1988	Japan (w/Abstract)			X
2 1 8 9 0 1 1	July 25, 1990	Japan (w/Abstract)			X

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

"Effects of Aluminum Thickness on Temperature Characteristics of Surface Acoustic Wave Devices on the LST-Cut of Quartz," M. Murota et al., The Journal of Institute of Electronics, Information and Communication Engineers, A Vol. J74-A, No. 9, pp. 1359-1365, September 1991.

"Analysis of Trapped-Energy Resonators and Monolithic Filters by the Equivalent Distributed-Constant Circuits," K Nakamura et al., The Journal of Institute of Electronics, Information and Communication Engineers, '76/11 Vol. J59-A, No. 11, pp. 985-992

"Energy-Trapping for Backward-Wave-Mode Thickness-Vibrations by Controlling Piezoelectric Reaction," H. Shimizu et al., The Journal of Institute of Electronics, Information and Communication Engineers, '79/1 Vol. J62-A No. 1, pp. 8-15

"Equivalent-Network Analyses of Energy-Trapping of Backward-Wave Thickness Vibrations," K. Yamada et al., The Journal of Institute of Electronics, Information and Communication Engineers, '80/6, Vol. J63-A, No. 6, pp. 327-334

"Optimization of Quartz SAW Resonator Structure with Groove Gratings," Takehiko Uno et al., IEEE Transactions on Sonics and Ultrasonics, Vol. SU-29, No. 6, November 1982, pp. 299-310

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.